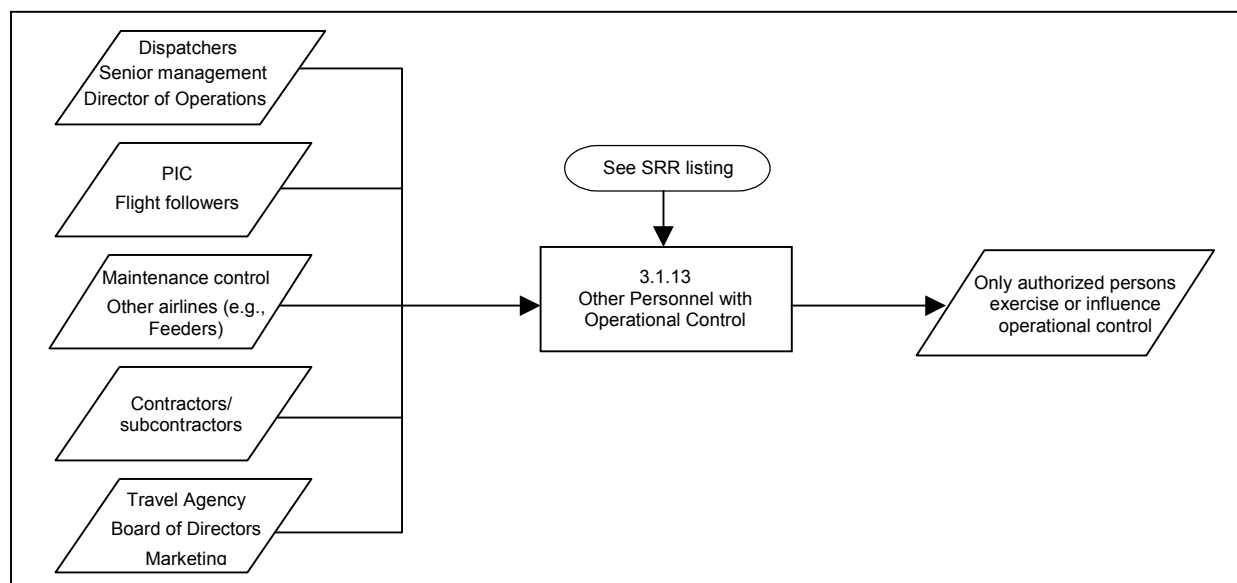


# Safety Attribute Inspection (SAI) Job Aid



## ELEMENT SUMMARY INFORMATION

**Element:** 3.1.13 Other Personnel with Operational Control

**Purpose of this Element** (Air Carrier's responsibility): To ensure that only authorized personnel exercise operational control.

**Objective** (FAA responsibility): To determine if the Air Carrier's procedures and controls for the Operational Control process prevent the utilization of unauthorized personnel.

### Inputs:

- Dispatchers
- Senior Management (i.e., VP, CEO, owner)
- Director of Operations
- PIC
- Flight Followers
- Maintenance Control
- Other Airlines (e.g., Feeders)
- Contractors/Subcontractors
- Travel Agency
- Board of Directors
- Marketing

### Outputs:

- Only authorized persons exercise or influence operational control

### Performance Measures:

- Only authorized persons exercised or influenced operational control.

# Safety Attribute Inspection (SAI) Job Aid

## **SRR:**

- 121.537 (a) Responsibility for operational control: Supplemental operations.

## **Other CFRs and/or FAA Guidance:**

- Order 8400.10, Volume 3, Chapter 5, Section 3, Paragraph 1073. "Aircraft Dispatcher Basic Indoctrination Training."
- Order 8400.10, Volume 3, Chapter 6, Section 1, Paragraph 1145. "Operational Control, Background and Definitions."
- Order 8400.10, Volume 3, Chapter 8, Section 1, Paragraph 1489. "Scope and Concepts, Operational Control."
- Legal interpretation regarding CFR's 121.629, 121.533, and 121.535 to Mr. Mark G. Monse dated December 1, 1992
- Refer to Advisory Circulars using a search engine (such as ATP Navigator or Summit)

# Safety Attribute Inspection (SAI) Job Aid

## SRR SPECIFIC INFORMATION

SRR	Intent	Inspectors
<b>121.537 (a)</b>	To establish responsibility for operational control for Supplemental Operators and require the Air Carrier to list in its manual each person authorized to exercise operational control	<i><b>Certification:</b> Operations</i> <i><b>Surveillance:</b> Operations</i>

# Safety Attribute Inspection (SAI) Job Aid

## 3.1.13 Other Personnel with Operational Control

### SECTION 1 - RESPONSIBILITY ATTRIBUTE

**Objective:** To determine if there is a clearly identifiable, qualified, and knowledgeable person who is accountable for the quality of the personnel with operational control process.

*To meet this objective, the inspector will accomplish the following tasks:*

1. Identify the person who is responsible for the quality of the Other Personnel with Operational Control process.
2. Review the description in the Manual that delineates the duties and responsibilities of the person.
3. Evaluate the person's qualifications and work experience (or resume', if appropriate).
4. Review the appropriate organizational chart.
5. Discuss the Other Personnel with Operational Control process with the person.

*To meet this objective, the inspector will answer the following questions:*

1. Is there a clearly identifiable person who is answerable for the quality of the Other Personnel with Operational Control process?	<input type="checkbox"/> YES If yes, provide the name: <input type="checkbox"/> NO If no, explain:
2. Does the person understand the procedures associated with the Other Personnel with Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
3. Does the person understand the controls associated with the Other Personnel with Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
4. Does the person understand the interfaces associated with the Other Personnel with Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
5. Does the person understand the process measurements associated with the Other Personnel with Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
6. Is the responsibility of this position clearly documented in the air carrier's Manual(s)?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
7. Are the qualification standards for this position clearly documented?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
7a Are the qualification standards for this position appropriate for the duties that are assigned?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
8. Does the person meet the qualification standards?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
9. Does the person acknowledge that he/she has responsibility for the Other Personnel with Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
10. Does the person know who has authority to establish and modify the Other Personnel with Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO

# Safety Attribute Inspection (SAI) Job Aid

## 3.1.13 Other Personnel with Operational Control

### SECTION 2 – AUTHORITY ATTRIBUTE

**Objective:** To determine if there is a clearly identifiable, qualified, and knowledgeable person with the authority to establish and modify the authority for personnel with operational control.

*To meet this objective, the inspector will accomplish the following tasks:*

1. Identify the person who has the authority to establish or modify the Other Personnel with Operational Control process.
2. Review the description in the Manual that delineates the duties and responsibilities of the person.
3. Evaluate the person's qualifications and work experience (or resume', if appropriate).
4. Review the appropriate organizational chart.
5. Discuss the Other Personnel with Operational Control process with the person.

*To meet this objective, the inspector will answer the following questions:*

1. Is there a clearly identifiable person who has authority to establish and modify the air carrier's policies for the Other Personnel with Operational Control process?	<input type="checkbox"/> YES If yes, provide the name: <input type="checkbox"/> NO If no, explain:
2. Does the person understand the procedures associated with the Other Personnel with Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
3. Does the person understand the controls associated with the Other Personnel with Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
4. Does the person understand the interfaces associated with the Other Personnel with Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
5. Does the person understand the process measurements associated with the Other Personnel with Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
6. Is the authority of this position clearly documented in the air carrier's Manual(s)?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
7. Are the qualification standards for this position clearly documented?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
7a Are the qualification standards for this position appropriate for the duties that are assigned?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
8. Does the person meet the qualification standards?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
9. Does the person acknowledge that he/she has authority for the Other Personnel with Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
10. Does the individual know who has the responsibility for the Other Personnel with Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
11. Are the procedures for delegation of authority clearly documented for the Other Personnel with Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO

# Safety Attribute Inspection (SAI) Job Aid

## 3.1.13 Other Personnel with Operational Control

### SECTION 3 – PROCEDURES ATTRIBUTE

**Objective:** To determine that the Air Carrier has documented procedures to insure that only qualified and authorized personnel exercise or influence operational control.

*To meet this objective, the inspector will accomplish the following tasks:*

1. Review the documented instructions and information related to the Other Personnel with Operational Control process to ensure that they contain who, what, where, when, and how.
2. Review the FAA Guidance and Specific Regulatory Requirements (SRR) included in the supplemental information section of this SAI.
3. Discuss the Other Personnel with Operational Control process with appropriate personnel to gain an understanding of the procedures.
4. Observe the Other Personnel with Operational Control process to gain an understanding of the procedures.

*To meet this objective, the inspector will answer the following questions:*

1. Do written procedures exist to achieve the desired result of the Other Personnel with Operational Control process:

1.1 Does the Air Carrier have written procedures to identify personnel authorized to exercise operational control?

☐ YES    If no, explain:  
☐ NO

1.2 Does the Air Carrier have written procedures to limit personnel authorized to exercise operational control to those identified by the Air Carrier?

☐ YES    If no, explain:  
☐ NO

1.3 Does the Air Carrier have written procedures to train and qualify other personnel with operational control?

☐ YES    If no, explain:  
☐ NO

1.4 Does the Air Carrier have written procedures to specify responsibility for operational control?

☐ YES    If no, explain:  
☐ NO  
☐ N/A Flag or Domestic

2. Do the procedures identify: who, what, where, when and how?

☐ YES    If no, explain:  
☐ NO

3. Are the procedures in compliance with the CFR(s)?

☐ YES    If no, explain:  
☐ NO

4. Do the procedures conform to other written guidance (E.g., Operations Specifications, FAA Orders, Airworthiness Directives, Advisory Circulars, Handbook Bulletins, Directives, and Manufacturer's Recommendations)?

☐ YES    If no, explain:  
☐ NO

5. Does the air carrier have the resources to support the written procedures for the Other Personnel with Operational Control process?

☐ YES    If no, explain:  
☐ NO

6. If alternate procedures exist for use during irregular conditions, do they achieve the same desired results as the primary procedures so that an equivalent level of safety is maintained? (E.g., a manual system used as a result of equipment failure).

☐ YES    If no, explain:  
☐ NO  
☐ N/A, No alternate procedures exist for this element

# Safety Attribute Inspection (SAI) Job Aid

## 3.1.13 Other Personnel with Operational Control

### **SECTION 3 – PROCEDURES ATTRIBUTE**

- |   |  |
|---|--|
| 7. Are the procedures published in different manuals relating to the Other Personnel with Operational Control process consistent?                         | <input type="checkbox"/> YES    If no, explain:<br><input type="checkbox"/> NO |
| 8. Does the air carrier have a documented method for assessing the impacts of procedural changes to the Other Personnel with Operational Control process? | <input type="checkbox"/> YES    If no, explain:<br><input type="checkbox"/> NO |

# Safety Attribute Inspection (SAI) Job Aid

## 3.1.13 Other Personnel with Operational Control

### SECTION 4 – CONTROL ATTRIBUTE

**Objective:** To determine if checks and restraints exist for personnel with operational control to ensure a desired result is achieved.

*To meet this objective, the inspector will accomplish the following tasks:*

1. Review the documented instructions and information related to the Other Personnel with Operational Control process.
2. Review the FAA Guidance and Specific Regulatory Requirements (SRR) included in the supplemental information section of this SAI.
3. Discuss the Other Personnel with Operational Control process with appropriate personnel to gain an understanding of the controls.
4. Observe the Other Personnel with Operational Control process to gain an understanding of the controls.

*To meet this objective, the inspector will answer the following questions:*

1. Are the following checks and restraints built into the Other Personnel with Operational Control process:

1.1 Does the Air Carrier list in its Manual the names of all personnel authorized to exercise operational control?	<input type="checkbox"/> YES	If no, explain:
	<input type="checkbox"/> NO	

1.2 Does the Air Carrier list the duties and responsibilities of all personnel authorized to exercise operational control?	<input type="checkbox"/> YES	If no, explain:
	<input type="checkbox"/> NO	

- |   |                              |                 |
|---|------------------------------|-----------------|
| 2. Do the checks and restraints ensure the desired result is achieved for the Other Personnel with Operational Control process? | <input type="checkbox"/> YES | If no, explain: |
|   | <input type="checkbox"/> NO  |                 |

- |  |                              |                 |
|--|------------------------------|-----------------|
| 3. Does the air carrier have a documented method for assessing the impacts of any changes made to checks and restraints in the Other Personnel with Operational Control process? | <input type="checkbox"/> YES | If no, explain: |
|  | <input type="checkbox"/> NO  |                 |

- |   |                              |                 |
|---|------------------------------|-----------------|
| 4. Does the air carrier have the resources to support the checks and restraints for the Other Personnel with Operational Control process? | <input type="checkbox"/> YES | If no, explain: |
|   | <input type="checkbox"/> NO  |                 |



# Safety Attribute Inspection (SAI) Job Aid

## 3.1.13 Other Personnel with Operational Control

### SECTION 5 - PROCESS MEASUREMENT ATTRIBUTE

**Objective:** To determine if the Air Carrier measures and assesses its process for other personnel with operational control.

*To meet this objective, the inspector will accomplish the following tasks:*

1. Review the documented instructions and information related to the Other Personnel with Operational Control process.
2. Discuss the Other Personnel with Operational Control process with appropriate personnel to gain an understanding of the process measures.
3. Observe the Other Personnel with Operational Control process to gain an understanding of the process measures.

*To meet this objective, the inspector will answer the following questions:*

1. <Deleted>

2. Does the air carrier's Other Personnel with Operational Control process include the following process measurements?

2.1 The Air Carrier has a method for detecting unauthorized personnel attempting to exercise operational control

☐ YES If no, explain:  
☐ NO

2.2 The Air Carrier has a method for preventing unauthorized personnel from exercising operational control

☐ YES If no, explain:  
☐ NO

2.3 The Air Carrier has a method for checking the background of personnel to insure that they meet the qualification standards

☐ YES If no, explain:  
☐ NO

3. Does the air carrier document their process measurement methods and results?

☐ YES If no, explain:  
☐ NO

4. Are the air carrier's process measurement methods effective?

☐ YES If no, explain:  
☐ NO

5. Does the air carrier use their process measurement results to improve their programs?

☐ YES If no, explain:  
☐ NO

6. Are the process measurement results accessible to the FAA?

☐ YES If no, explain:  
☐ NO

7. Does the organization that conducts the process measurement have direct access to the person with responsibility for the Other Personnel with Operational Control process?

☐ YES If no, explain:  
☐ NO

8. Does the air carrier have the resources to support the process measurement for the Other Personnel with Operational Control process?

☐ YES If no, explain:  
☐ NO

# Safety Attribute Inspection (SAI) Job Aid

## 3.1.13 Other Personnel with Operational Control

### SECTION 6 – INTERFACES ATTRIBUTE

**Objective:** To determine if the Air Carrier identifies and manages the interactions between the process of issuing operational control authority and other element processes within the Air Carrier organization.

*To meet this objective, the inspector will accomplish the following tasks:*

1. Review the documented instructions and information related to the Other Personnel with Operational Control process.
2. Discuss the Other Personnel with Operational Control process with appropriate personnel to gain an understanding of the interfaces.
3. Observe the Other Personnel with Operational Control process to gain an understanding of the interfaces.

*To meet this objective, the inspector will answer the following questions:*

1. Are the following interfaces identified for the Other Personnel with Operational Control process:

1.1 Manual Currency (Element 2.1.1)	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
1.2 Content Consistency Across Manuals (Element 2.1.2)	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
1.3 (Manual) Distribution (Element 2.1.3)	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
1.4 (Manual) Availability (Element 2.1.4)	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
1.5 Operational Control (Element 3.1.4)	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
1.6 Dispatch or Flight Release (Element 3.2.1)	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
1.7 Flight/Load Manifest/Weight and Balance Control (Element 3.2.2)	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
1.8 MEL/CDL Procedures (Element 3.2.3)	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
1.9 Training of Dispatchers (Element 4.2.5)	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
1.10 Training of Station Personnel (Element 4.2.6)	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
1.11 Special Navigation Areas of Operation (Element 5.1.7)	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
1.12 ETOPS (Element 5.1.8)	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
1.13 RVSM Authorization (Element 5.1.9)	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:

# Safety Attribute Inspection (SAI) Job Aid

## 3.1.13 Other Personnel with Operational Control

### SECTION 6 – INTERFACES ATTRIBUTE

1.14 Scheduling/Reporting System (Element 6.1.1)	<input type="checkbox"/> YES    If no, explain: <input type="checkbox"/> NO
1.15 Flight Crew Member-Flight/Duty/Rest Time (Element 6.1.2)	<input type="checkbox"/> YES    If no, explain: <input type="checkbox"/> NO
1.16 Flight Attendant Duty/Rest Time (Element 6.1.3)	<input type="checkbox"/> YES    If no, explain: <input type="checkbox"/> NO
1.17 Dispatcher Duty/Rest Time (Element 6.1.4)	<input type="checkbox"/> YES    If no, explain: <input type="checkbox"/> NO
1.18 Director of Safety (Element 7.1.3)	<input type="checkbox"/> YES    If no, explain: <input type="checkbox"/> NO
1.19 Director of Operations (Element 7.1.4)	<input type="checkbox"/> YES    If no, explain: <input type="checkbox"/> NO
1.20 Computer Based Record Keeping (Element 3.1.11)	<input type="checkbox"/> YES    If no, explain: <input type="checkbox"/> NO
2. List any additional interfaces identified:	
3. Are there written procedures for the use of air carrier personnel in the application of these interfaces?	<input type="checkbox"/> YES    If no, explain: <input type="checkbox"/> NO
4. Are there controls to ensure that interfaces occur?	<input type="checkbox"/> YES    If no, explain: <input type="checkbox"/> NO
5. Are the interfaces between the Other Personnel with Operational Control process and other processes treated consistently in the Manual(s)?	<input type="checkbox"/> YES    If no, explain: <input type="checkbox"/> NO